

FORM SR

(To be left blank by all Applicants)

Name _____
Location _____
Classification _____

License No. _____
Date Issued _____
License Fee Received _____

(To be filled in by all Applicants)

**APPLICATION FOR RENEWAL OF LICENSE PURSUANT TO
THE SALE OF CHECKS ACT**

To: STATE OF ALABAMA
Alabama Securities Commission
770 Washington Street, Suite 570
Montgomery, AL 36130-4700

Date _____

The undersigned hereby makes application for the renewal of a license under the provisions of the Sale of Checks Act, Act No. 177, Ala. Code Section 8-7-1. et. al. to engage in the business of selling, issuing or otherwise dispensing checks, drafts, money orders or other instruments for the transmission or payment of money and/or the business of receiving money as agent for obligors for the purpose of paying such obligors' bills, invoices or accounts in the State of Alabama. For the purpose of such renewal application, the undersigned submits the following information:

1. The name of the Applicant is _____

2. The address of the Applicant's principal office in the State of Alabama is:

(street) (city) (county) (state) (zip)

3. If a foreign corporation, the address of the principal office of the corporation is:

(street) (city) (county) (state) (zip)

4. The trade name(s) under which the Applicant proposes to operate, if any, is:

5. Has the Applicant undergone any change in name or ownership since filing its original application with the Commission? If so, describe any such changes: _____

GENERAL QUESTIONS

1. Are you now engaged in the business of selling, issuing or otherwise dispensing check, drafts, money orders or other instruments for the transmission or payment of money?

YES _____ NO _____

2. Are you now engaged in the business of receiving money as agent for obligors for the purpose of paying obligors' bills, invoices or accounts?

YES _____ NO _____

3. Do you carry on, or engage in any other business?

YES _____ NO _____

If the answer is "YES", describe the other businesses:

4. Do you operate at more than one location within the State of Alabama? YES _____ NO _____

Number of additional locations _____

(a) In your answer is "YES", list each of these locations, provide the address of the location, and state the name and business address of your agents or representatives located at each location. This exhibit should be marked Exhibit A and attached to this application.

DISCIPLINARY QUESTIONS

DEFINITIONS:

"Applicant" shall mean and include an individual applicant as well as the officers, directors and controlling persons of any proprietorship, corporation, partnership, limited liability corporation or joint stock association applicant.

A. In the past ten years has the applicant been convicted of or pleaded guilty or nolo contendere ("no contest") to:

- (1) A felony or misdemeanor involving:
 - Investment or an investment-related business
 - Fraud, false statement, or omission
 - Wrongful taking of property or
 - Bribery, forgery, counterfeiting, or extortion

YES _____ NO _____

(2) Any other felony?

YES _____ NO _____

B. Has any other federal regulatory agency or any state regulatory agency:

(1) Ever found the applicant to have made a false statement or omission or been dishonest, unfair, or unethical?

YES _____ NO _____

(2) Ever found the applicant to have been a cause of a sales of check business having its authorization to do business denied, suspended, revoked, or restricted?

YES _____ NO _____

(3) In the past ten years, entered an order against the applicant in connection with a sales of check business?

YES _____ NO _____

(4) Ever denied, suspended, or revoked the applicant's registration or license, prevented it from associating with a sales of check business, or otherwise disciplined it by restricting its activities?

YES _____ NO _____

THE APPLICANT, BY THE EXECUTION OF THIS APPLICATION, ACKNOWLEDGES AND AGREES TO THE FOLLOWING CONDITIONS:

A. Applicant agrees to operate the business in compliance with all orders, decisions or findings of the Alabama Securities Commission.

YES _____ NO _____

B. The Applicant agrees to maintain adequate records which disclose the true status of the Applicant's business, and will make such records available for examination upon request of representatives of the Alabama Securities Commission.

YES _____ NO _____

C. The Applicant agrees to maintain sufficient bank deposit balances at all times to cover Applicant's liability on account of checks, drafts, money orders or other instruments for the transmission or payment of money and the receiving of money as agent for obligors.

YES _____ NO _____

D. The Applicant agrees to deliver to the Alabama Securities Commission the license issued by the Commission if the same is not renewed or if the license is revoked or voluntarily surrendered.

YES _____ NO _____

- E. Applicant agrees that, upon receiving a license under the Act, it will maintain a bank deposit account for the payment of liabilities incurred in the business for which this license application is being filed. Applicant will keep and maintain in this account, at all times, a minimum amount equal to all outstanding liabilities.

YES _____ NO _____

SIGNATURE OF APPLICANT

For sole proprietor _____
(Proprietor)

For Partnership _____
(Name of partnership)

BY _____
(General Partner)

(Seal of Corporation)

For Corporation, etc. _____

(Name of Corporation)

BY _____
(Name)

ITS: _____
(Title)

For Limited Liability Corporation, Limited Liability
Partnership _____

BY _____
(Its Managing Member/Shareholder)

This application must be executed by a principal officer, partner or principal on behalf of the Applicant.

STATE OF _____

SS.

COUNTY OF _____

The undersigned being duly sworn deposes and says that he has executed the foregoing application for and on behalf of the applicant named therein; that he is

of such applicant and is fully authorized to execute and file such application; that he is familiar with such application; and that to the best of his knowledge, information and belief, the statements made in such application and the statements made in the exhibits submitted therewith, are true.

Subscribed and sworn to before me this

_____ day of _____, 20____.

(Notary Public)